

Rev. 11/00



Attorney Docket No. CF/033

Applicants : Andrew C. Gilbert et al.

Application No.: 09/851,848 ✓ Confirmation No.: 3671

Filed : May 9, 2001

For : SYSTEMS AND METHODS FOR CONTROLLING TRADERS
FROM MANIPULATING ELECTRONIC TRADING MARKETS

Group Art Unit : 2164

New York, New York 10020
January 11, 2002

Hon. Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

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JAN 29 2002

Sir:

Technology Center 2100

Transmitted herewith is an Information Disclosure Statement in the above-identified application. This Statement is submitted:

within three months of the application filing date;

more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure

Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,

Evelyn C. Mak
Evelyn C. Mak
Registration No. P-50,492
Agent for Applicants
FISH & NEAVE
1251 Avenue of the Americas
New York, New York 10020-1105
Tel.: (212) 596-9000

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CF/033

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Andrew C. Gilbert et al.

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In accordance with 37 C.F.R. §§ 1.56 and 1.97,
applicants wish to call the attention of the Examiner to the
following documents:

U.S. Patent Documents

Hartheimer et al.	5,258,908	11/02/93
Ordish et al.	5,727,165	03/10/98

PCT Published Application

PCT	WO 00/11588	03/02/00
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These documents are listed on the accompanying Form
PTO-1449 (submitted in duplicate) and copies are enclosed
herewith.

Applicants have not yet received an Office Action on the merits, therefore, pursuant to 37 C.F.R. § 1.97(b)(3), it is believed that no fee is required in connection with this Information Disclosure Statement.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

Evelyn C. Mak
Evelyn C. Mak
Registration No. P-50,492
Agent for Applicants
FISH & NEAVE
1251 Avenue of the Americas
New York, New York 10020-1105
Tel.: (212) 596-9000

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Lillian Garcia

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FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF/033	APPLICATION NO. 09/851,848
INFORMATION DISCLOSURE STATEMENT BY APPLICANTS		APPLICANTS Andrew C. Gilbert et al.	CONFIRMATION NO. 3671
		FILING DATE May 9, 2001	GROUP 2164

U.S. PATENT DOCUMENTS

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PCT PUBLISHED APPLICATIONS

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.